

State of New Hampshire

Banking Department

64B Old Suncook Rd
Concord, NH 03301

Peter C. Hildreth
Bank Commissioner

Robert A. Fleury
Deputy Bank Commissioner

Telephone: (603) 271-3561
Fax: (603) 271-0750
Licensing: (603) 271-8675
www.nh.gov/banking

SALES FINANCE COMPANY APPLICATION INFORMATION

General Instructions

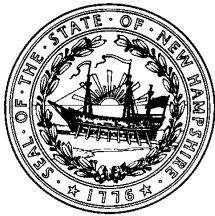
The principal office of the applicant must be licensed wherever it is located. Only those business locations of the applicant that are located in New Hampshire must be licensed as branches. The fee for a sales finance company license is \$350 for the principal location. The fee for each NH branch office of the applicant is \$100.

Please make sure the following are included with the application:

1. Sales finance companies must submit an original \$25,000 continuous surety bond on the form included with this application. We cannot accept copies of the bond; we must have the originally executed bond. The bond must be signed by three people: 1) an authorized officer of the company that is the applicant or licensee, 2) an insurance agent of the surety company who is duly licensed by the New Hampshire Insurance Department (does not have to be a resident agent; any NH licensed agent of the company may sign), and 3) an individual with a power of attorney who may sign on behalf of the surety company. All three signature lines must be signed.
2. Foreign (not formed in New Hampshire) entities must appoint a NH agent. The agent must have a NH business address open during normal business hours. If the applicant does not maintain a NH office, Banking Department examinations of the licensee's books and records may take place at the NH agent's location.
3. Applicants who propose to use a trade name must provide proof of trade name registration issued by the NH Secretary of State. (Telephone Number: 603-271-3244) The "Owner" of the trade name listed on the registration must match the name of the "Applicant". If these are not the same, ownership must be changed through the Secretary of State's office.
4. Foreign corporations, foreign limited liability companies and foreign partnerships must provide a copy of their home state registration and proof of registration as a foreign corporation, foreign limited liability company or foreign partnership issued by the NH Secretary of State. (Telephone Number: 603-271-3244)
5. Financial statements must be consistent with the legal status of the applicant. Corporations must provide the corporation's financial statements. Also provide a copy of the most recent federal business income tax returns (1120, 1120-S, and K-1s).
6. A list of names, business addresses, residence addresses and titles of all of the following that apply: the applicant's **A.** (1) principal shareholders (10% or more), (2) officers (president, vice president, secretary, treasurer), (3) senior managers (senior vice presidents and higher), and (4) directors of a corporate applicant; **B.** general partners of a general partnership; **C.** general and limited partners (10% or more) of a limited partnership; **D.** members of a limited liability company; **E.** trustees and beneficiaries (10% or more) of a trust; and **F.** New Hampshire branch managers, must be included with the application and personal, financial and background disclosure statements and criminal investigation authorization forms must be included for each person on the list.
7. Criminal Records checks are conducted by the State of New Hampshire Department of Safety, State Police Division. The Department of Safety charges a \$39 fee to cover costs for each record check. A copy of the *Department of Safety Division of State Police Criminal History Record Information Authorization Form* follows these instructions. You may make copies of this form, and then complete a form for each person described in Item 6 of these instructions. Complete all items in Section I, and make sure to sign the release information in Section II of the form and have the form notarized.
8. You will need to submit fingerprints in order to complete the criminal background checks. To obtain fingerprint card(s), which must be on a New Hampshire State Police fingerprint form, you may submit a form from our website www.nh.gov/banking/consumer.html, call (603) 271-8675 or e-mail licensing@banking.state.nh.us the licensing section at the Banking Department, indicate the number of cards needed and the address where they should be sent (only one address; the applicant or registrant is responsible for distribution to applicable persons within their organization) and we will send fingerprint cards out to you right away.

9. Submit a *Criminal History Record Information Authorization Form*, fingerprint card and a fee in the amount of \$39, for each person described in the Item 6 above, to the Banking Department. We will forward the document(s) and check(s) to the Department of Safety. All checks and money orders for the record checks should be made payable to the "State of NH – Criminal Records." Fees covering multiple individuals may be combined into one check.
10. Please note that this form and procedure do not take the place of the Banking Department's Authorization/Release Form which still must be submitted for the individuals listed in Item 6 above and which enables us to access the other information we need to act on your company's application.
11. Copies of resumes for senior management personnel and NH branch managers.
12. Copies of all retail installment contract forms and leases the applicant will use.

Please make sure that all items on the application form are completed and all attachments, numbered to correspond to the question or item to which they respond, are enclosed with the application filing. Please include the applicant's name on each attachment. Inclusion of a list/index of attachments is recommended. Care in providing all the required information will result in the filing of a complete application and will enable us to expeditiously review the application without the need to write for further information.



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FORM 361-A-2

APPLICATION FOR SALES FINANCE COMPANY LICENSE

Application Fees

License type applied for:

____ Sales Finance Company Principal Office (\$350)

Each branch office of the applicant located in New Hampshire must be licensed to conduct sales finance activity. Enter the number of NH branch offices: _____ NH Branch Offices (\$100 per Office)

Make Check Payable To: "STATE OF NEW HAMPSHIRE"

Complete all items and sign the affirmation.

Date of this filing: _____, 200____

FOR OFFICE USE ONLY

Ck. # _____

Amt. \$ _____

Rec'd by _____ Date _____

Entered By _____ Date _____

App. Complete _____ Date _____

Approved By _____ Date _____

Pr. Lic. # _____ Date Mailed _____

NAME AND IDENTIFICATION OF APPLICANT

1. Legal name of applicant: _____

Will applicant do business under a trade name? _____ ("yes" or "no"; if "yes", state the trade name and attach copy of trade name registration issued by NH Secretary of State. The trade name provided below must match the trade name registration issued by NH Secretary of State)

Trade Name _____

2. Address of applicant: _____
(Principal Office \$350) (Street) (City) (State) (Zip)

Mailing address, if different: _____
(Street or PO Box) (City) (State) (Zip)

Communications: _____
(Tel. no.) (Fax no.) (Cell) (E-mail Address)

3. Applicant's federal tax ID number: _____ Applicant's fiscal year end date: _____

4. Has the Applicant been issued a Bonded Dealer License by the New Hampshire Department of Safety? ____ Yes ____ No.
If "Yes", please enter the license number of the Bonded Dealer License _____. The name that appears on the Bonded Dealer License is _____.

5. Branch Offices: all locations in the State of New Hampshire of the sales finance company applicant must be licensed as branches (attach an additional sheet if necessary; enclose \$100 per branch location; attach a resume for each branch manager).

[illegible]

EXECUTIVE OFFICER/CONTACT PERSON FOR OFFICIAL MATTERS

6. President, Chief Executive Officer or Senior Partner of Applicant:

Name _____ Title: _____

Business Address: _____
 (Street) (City) (State) (Zip) (Direct Line Telephone)

Mailing Address: _____
 (Street) (City) (State) (Zip)

E-Mail Address: _____

Check here if you wish to have important notices sent via e-mail.

Applicant's Web Address: _____

PRINCIPAL LICENSING CONTACT PERSON

THIS IS THE INDIVIDUAL WHO MUST SIGN THIS APPLICATION FORM AND TO WHOM ALL LICENSING QUESTIONS AND ISSUES WILL BE ADDRESSED. THE NAMED INDIVIDUAL MUST BE AUTHORIZED BY THE COMPANY TO MAKE SWORN STATEMENTS AND ATTESTATIONS ON BEHALF OF THE COMPANY WHERE REQUIRED AS PART OF THE APPLICATION AND/OR RENEWAL PROCESS

7. Name _____ Title: _____

Business Address _____
 (Street) (City) (State) (Zip) (Direct Telephone Line)

Mailing Address: _____
 (Street) (City) (State) (Zip)

E-Mail Address: _____

1

Check here if you wish to have important notices sent via e-mail.

BONDING

8. Attach an original \$25,000 surety bond (we cannot accept photocopies). Provide name and telephone number of insurance agent to contact regarding the bond:

(Name)

(Telephone)

LEGAL STATUS

9. Applicant is a: (check one) Corporation _____ Individual _____ Partnership _____
Association _____ Limited Liability Company _____
Other (specify) _____

A. If the applicant is an individual, skip to question 10. All others please provide date and state of incorporation or formation, as applicable, and attach copy of Certificate of Incorporation or Certificate of Formation issued by the appropriate agency of the state of incorporation/formation.

State: _____

Date: _____

B. If applicant is not a NH entity, attach a copy of certificate of registration as a foreign entity issued by the NH Secretary of State. (NH Secretary of State, Corporate Division - Phone: 603-271-3244)

N.H. AGENT

10. Foreign (not formed in New Hampshire) entities must appoint and maintain at all times a registered agent in New Hampshire. If the applicant has a NH branch office, an individual in that office may be appointed as the NH registered agent. If the applicant *does not have* a NH branch office or does not wish to appoint someone in a branch office, the applicant must appoint another person to be the NH registered agent. The agent's office must be open during regular business hours. Banking Department examinations of the licensee's books and records may take place at the registered agent's office.

Name of Agent: _____ Telephone: _____

Complete address of NH Agent (the actual physical location, street, town or city and zip):

(Please provide a New Hampshire business address)

Mailing Address of Agent: _____

OWNERSHIP AND MANAGEMENT

11. Attach a list of names, business addresses, residence addresses and titles of all of the following that apply: the applicant's **A.** (1) principal shareholders (10% or more), (2) officers (president, vice president, secretary, treasurer), (3) senior managers (senior vice presidents and higher), and (4) directors of a corporate applicant; **B.** general partners of a general partnership; **C.** general and limited partners (10% or more) of a limited partnership; **D.** members of a limited liability company; **E.** trustees and beneficiaries (10% or more) of a trust; and **F.** New Hampshire branch managers. If the applicant is a subsidiary, the list must include the principal shareholders (10% or more), senior officers and directors, general and limited partners (10% or more), members, trustees and beneficiaries (10% or more) of the applicant's ultimate equity owner(s) and all intermediate entities. Attach an additional sheet if necessary.

Name	Owner (include % of ownership), Officer, Director, Manager, Member, Trustee (indicate which)	Business Address	Residential Address

12. Attach resumes or similar documents which indicate the lending and/or loan brokering experience of the applicant organization and the organization's officers and senior managers (senior vice president and higher) and NH branch managers. Publicly traded corporate applicants need only submit resumes for NH branch managers.

EXPERIENCE AND PAST CONDUCT

13. Attach a list of all current lending and/or loan brokering licenses issued by any other state. Attach an additional sheet if necessary. Provide name of state, license type, license number, and expiration date for each license held.

State	License Type(s)	License Number(s)	Expiration Date(s)

14. Has applicant, or any of its owners, directors, partners, members, officers or managers (including any person with a position named in #11 above) ever had a lending or loan brokering license revoked, suspended or denied by this or any other state, or been the subject of any formal disciplinary proceeding? Yes _____ No _____ If yes, provide full details on a separate sheet.
15. Has the applicant or any of its owners, directors, partners, members, officers or managers (including any person with a position named in #11 above) ever been convicted of a misdemeanor or felony? Yes _____ No _____ If "yes", furnish complete details, including dates, location, docket number, nature of crime, penalties, etc. on a separate sheet.

FINANCIAL CONDITION

16. All applicants must submit financial statements. Applicants and licensees must demonstrate financial integrity. Attach the following:
- A. Copies of the following that are prepared in accordance with generally accepted accounting principles by a public accountant, certified public accountant (audited are required if an audit was performed) or the applicant's financial officer who must include an attestation, signed under penalty of Unsworn Falsification pursuant to NH RSA 641:3, that the financial statements are true and accurate to the best of his or her belief and knowledge:
1. Balance sheet as of the last fiscal year end and as of the most recent quarter end
 2. Cash flow statement as of the last fiscal year end and as of the most recent quarter end
 3. Income statement as of the last fiscal year end and as of the most recent quarter end
 4. Note disclosures for the above
- B. Individuals, sole proprietors, partnerships, limited liability companies and corporations with 20 or fewer shareholders must also attach the applicant's most recent federal tax returns.
- C. Publicly traded corporations, and wholly owned subsidiaries of publicly traded corporations, may submit copies of their most recent SEC 10K and 10Q forms in lieu of financial statements required by 16A if the financial statements reflect the operations and financial position of the applicant itself.

OPERATIONS

17. How are loans funded? Check all that apply.

Own Funds _____ Warehouse Line of Credit _____
Other _____ Describe: _____

18. Provide a list of the name(s) that the loans and leases are closed in. Include company name, address, telephone # and contact person for each; attach a separate sheet if necessary.

Company Name	Address/Zip	Telephone No.	Contact Person

19. If NH loans and leases are or will be serviced by third parties, provide a list of the name(s) of such servicers. Include company name, address, telephone # and contact person for each; attach a separate sheet if necessary.

Company Name	Address	Telephone No.	Contact Person

20. Provide a list of the name(s) of all NH motor vehicle dealers who 1) will forward loan and lease credit applications to your organization for underwriting and/or approval, or 2) from whom the applicant will purchase closed motor vehicle loans, or 3) for whom the applicant will table fund loans, or 4) from whom the applicant will accept assignments; attach a separate sheet if necessary.

Company Name	Address/Zip	Telephone No.	Contact Person

21. Will the applicant both sell and finance motor vehicles ("Buy here, Pay here")? _____ Yes _____ No
22. Will the applicant sell or fund third party product warranties, vehicle warranties or extended service contracts? _____ Yes
 _____ No If "yes", provide a list of all such products sold or funded; attach a separate sheet if necessary.

Name/Title of Product	Name of Issuing Company	Company's Address

23. Will the applicant sell and/or finance an in-house warranty or extended service contract? _____ Yes _____ No
 If "yes", attach copies of the approval(s) of such contracts issued by the NH Insurance Department.
24. Attach specimen copies of all retail installment contract forms and leases that the applicant will use.

THE PERSON NAMED IN ITEM NO. 7 OF THIS APPLICATION AS THE PRINCIPAL LICENSING CONTACT MUST MAKE THE AFFIRMATION BELOW AND SIGN THE APPLICATION UNDER PENALTY OF UNSWORN FALSIFICATION, RSA 641:3.

AFFIRMATION

I subscribe and affirm, under penalty of perjury, that the statements made in this application, including statements made in any accompanying papers, have been examined by me and to the best of my knowledge and belief are true, correct and complete, and that I am duly authorized to execute this affirmation. I understand that any misrepresentation made to the banking department may result in denial or revocation of the license to which this form relates.

I agree, on behalf of the Applicant, that pursuant to NH RSA 361-A:2,XII, the Applicant will promptly report and amend documents and records on file with the New Hampshire Banking Department for any material changes (including but not limited to change in owners, officers, directors, managers including NH branch managers, address, form of organization, contact information, FYE, etc.). The report of an amendment must be filed within 30 days of the event that requires the filing of an amendment.

I acknowledge on behalf of the applicant that the applicant's business, if licensed, will be operated in accordance with the New Hampshire Revised Statutes Annotated and rules of the New Hampshire Banking Department, and further acknowledge that the New Hampshire Banking Department is authorized to conduct examinations of the business affairs and records of the applicant's licensed business at any time with or without notice, and that all books, papers, files, related material, and records of assets, whether electronically stored or otherwise, shall be subject to the Department's examination.

Date: _____

For _____
 (Print or type Applicant's or Licensee's name)

By _____
 (Print or type name of the authorized signatory)

Signature _____
 (Signed under penalty of Unsworn Falsification
 pursuant to NH RSA 641:3)

Title _____

Bond Number _____

Effective Date _____

STATE OF NEW HAMPSHIRE
BANKING DEPARTMENT

KNOW ALL MEN BY THESE PRESENTS, that we _____

(Name of Applicant or Licensee)

of _____ AS PRINCIPAL, AND _____,

(State of Incorporation/Formation)

(Name of Insurance Company)

a corporation or other legally formed entity organized and existing under the laws of the State of _____ and authorized to do business in the State of New Hampshire, AS SURETY, and hereby held and firmly bound unto the Bank Commissioner of the State of New Hampshire for the use and benefit of the State of New Hampshire and the citizens and residents thereof, conditions of this obligation, in the sum of twenty-five thousand dollars (\$25,000), lawful money of the United States, for the payment of which sum, well and truly made, we bind ourselves, our heirs, executors, administrators, successors and assigns, jointly and severally, by these presents.

SEALED WITH our seals and dated this _____ day of _____, 20_____.

THE CONDITIONS OF THE ABOVE OBLIGATION ARE SUCH THAT:

WHEREAS, the above mentioned Principal has applied for a license as a sales finance company under the provisions of New Hampshire Revised Statutes Annotated 361-A from and after the date hereof for the license period and continuous during the licensing period, including renewal periods, or until cancelled, and required to faithfully comply with any and all provisions of NH RSA 361-A, as now or hereafter amended, and any and all rules, regulations and orders issued or hereafter to be issued by the Bank Commissioner of the State of New Hampshire; and

WHEREAS, this bond provides for suit thereon by any person who has a cause of action under RSA 361-A and, if the Bank Commissioner by rule or order requires, by any person who has a cause of action not arising under the chapter. This bond provides that no suit may be maintained to enforce any liability on the bond unless brought within 6 years after the transaction or other act upon which it is based.

NOW, THEREFORE, this bond shall remain in full force and remain in effect during the period of license of the Principal or until cancelled. Should the Surety wish to effect cancellation, 20 days' notice must be given to the Bank Commissioner. Such notice shall be in writing and the 20 day period shall commence from the date the notice is received by the Bank Commissioner. The suspension or revocation of the license of the Principal shall not cancel, suspend nor otherwise impair any obligation of the Surety under this bond.

IN WITNESS WHEREOF, said Principal, acting by and through its duly authorized officers, has hereunto set its hand and seal and the said Surety has caused these presents to be signed by its duly authorized officers and its corporate seal to be hereto affixed this _____ day of _____, 20_____.

(Name of Applicant or Licensee)

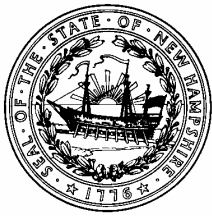
(Name of Surety)

BY _____
(Name and Official Position)

BY _____
(Name and Official Position)

BY _____
(Counter-Signature by NH licensed
Representative of the Insurer)

NOTE: Any applicable resolutions authorizing the execution of this bond shall be attached. If this bond has been subscribed to an "attorney-in-fact", there must be attached a "Power of Attorney".



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INSTRUCTIONS TO FORM U-2 N.H. UNIFORM CONSENT TO SERVICE OF PROCESS

1. The name of the applicant for licensure or registration is to be inserted in the blank space on line 1 Uniform Form U-2 ("Form").
2. The type of person executing the Form is to be described by striking out the inapplicable nomenclature in lines 2-4 and, if appropriate, by inserting a description of the person in the blank space provided on line 2 of the Form.
3. The name of the jurisdiction under which the person was formed or is to be formed is to be inserted in the blank spaces on line 3 of the Form.
4. The person to whom a copy of any notice, process of pleading which is served pursuant to the Consent to Service of Process is to be inserted in the appropriate blank spaces on page 1 of the Form.
5. An original manually signed Form must be filed with each application for licensure or registration.
6. The Form must be signed by the person. If the person is a corporation, it should be signed in the name of the corporation by an executive officer duly authorized; if a partnership, it should be signed in the name of the partnership by a general partner; and if an unincorporated association or other organization which is not a partnership, the Form should be signed in the name of such organization by a person responsible for the direction of management of its affairs.
7. The form must be signed under penalty of Unsworn Falsification pursuant to NH RSA 641:3.

U-2

N.H. (Rev.9/05)

UNIFORM CONSENT TO SERVICE OF PROCESS

KNOW ALL MEN BY THESE PRESENTS:

That the undersigned _____, (a corporation), (a partnership), (limited liability company) or
(Name of applicant for licensure or registration)

a (_____) organized under the laws of the State of _____, or (an individual), [strike out inapplicable nomenclature] for the purposes of complying with the laws of the State of New Hampshire relating to either licensure as a mortgage broker, or mortgage banker, sales finance company, retail seller, small loan lender, debt adjuster or to registration as a mortgage servicing company, hereby irrevocably appoints the Bank Commissioner of the State of New Hampshire and the successors in such office its attorney in the State of New Hampshire upon whom may be served any notice, process or pleading in any action or proceeding against it arising out of or in connection with business conducted pursuant to said license or registration or out of violation of the aforesaid laws of said state; and the undersigned does hereby consent that any such action or proceeding against it may be commenced in any court of competent jurisdiction and proper venue within said state by service of process upon said officer with the same effect as if the undersigned was organized or created under the laws of said state and had been served lawfully with process in said state.

It is requested by the applicant that a copy of any notice, process or pleading served hereunder be mailed to:

(Name)

(Address)

Dated this _____ day of _____, 20_____

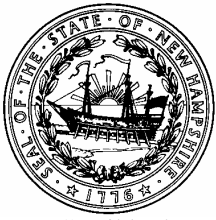
(COMPANY SEAL)

By _____
(Print name of Applicant)

Signed under penalty of Unsworn Falsification pursuant to NH RSA 641:3

By _____
(Signature of Officer)

(Print Name and Title of Officer)



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AUTHORIZATION/RELEASE FORM

NON-DEPOSITORY LENDER/BROKER, SERVICER, RETAIL SELLER OR DEBT ADJUSTER

INSTRUCTIONS: Please complete a separate form for each: **1.** owner (10% or more), **2.** director, **3.** partner, **4.** member, **5.** trustee or **6.** beneficiary (10% or more), **7.** officer, **8.** manager (Sr VP & higher), and **9.** NH branch manager of the applicant. Please type. This form may be duplicated. An applicant that is a publicly-traded company may submit copies of the publicly-traded company's most recently filed U.S. Securities and Exchange Commission Forms 10-K and 10-Q in lieu of this authorization, except that the authorization must be completed for each NH branch manager.

Submitted in connection with an application made for a non-depository banker, broker, mortgage servicing company, small loan lender, debt adjuster, retail seller and/or sales finance company license pursuant to RSA 397-A, 397-B, 399-A, 399-D and/or 361-A by:

(Name of Licensee or Applicant)

(Name of Officer, Owner, Director, Manager, Branch Manager, Partner, Trustee, Member)

I hereby authorize the State of New Hampshire Banking Department to request and receive credit reports, tax records; local, state, federal or international governmental records, police and criminal records from any and all law enforcement officials, personal background reports and reports from national and/or regional databases, employment information, current and past record of conduct with any regulatory entity or agency, and further authorize that such information may be released to the State of New Hampshire Banking Department by such entities and/or officials upon presentation of this authorization, or a photostatic copy hereof. I understand that the State of New Hampshire Banking Department will utilize any information it receives as a result of this authorization for purposes of determining compliance with licensing standards set forth in RSA 397-A, 397-B, 399-A, 399-D and/or 361-A, as applicable. I understand that this authorization does not expire. If the above applicant is a retail seller, I understand the Department will not request and receive credit reports in my name. I am signing this document under penalty of Unsworn Falsification pursuant to NH RSA 641:3.

(Type name)

(Date of Birth)

(Signature)

(Date)

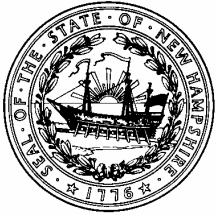
(Number and Street Address)

(Title)

(City and State of Residence)

(Social Security Number)

(Zip Code)



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CRIMINAL HISTORY RECORD INFORMATION AUTHORIZATION FORM, NON-DEPOSITORY LENDER/BROKER, SERVICER, RETAIL SELLER OR DEBT ADJUSTER **INSTRUCTIONS:**

1. As part of the Banking Department's license and registration application review process, criminal background checks are required for each of the applicant's individual owners/investors/beneficiaries of 10% or more and for each principal, officer, manager (senior vice president or higher), LLC member, partner in a partnership, director, trustee, and NH branch manager of the applicant.
2. Criminal Record checks are conducted by the State of New Hampshire Department of Safety State Police Division. The Department of Safety charges a \$39 fee to cover costs for each record check. The \$39 fee may be aggregated into one check if record checks are to be performed for more than one individual. However, the Department of Safety will only accept checks in the amount of \$39, or any multiple of \$39 (2 cards \$78, 3 cards \$117, etc). They will not accept 2 checks such as one for \$15 and an additional check for \$24). All checks and money orders for the record checks should be made payable to the "State of NH – Criminal Records."
3. You will need to submit fingerprints in order to complete the criminal background check. To obtain a fingerprint card, which must be on a New Hampshire State Police fingerprint form, you may submit a form from our website www.nh.gov/banking/consumer.html, call (603) 271-8675, or e-mail licensing@banking.state.nh.us the licensing section at the Banking Department, and indicate the number of cards needed and the address where they should be sent (only one address; the applicant or registrant is responsible for distribution to applicable persons within their organization) and we will send fingerprint cards out to you right away.
4. The New Hampshire cards must be taken to a local police department where a professional will take the fingerprints.
5. Every person **must** complete the following sections of the card:
 - a. Print the name of person whose record will be checked, "LAST NAME", "FIRST NAME", "MIDDLE NAME"; it must be legible;
 - b. Written "SIGNATURE OF THE PERSON FINGERPRINTED";
 - c. "RESIDENCE" address "OF THE PERSON FINGERPRINTED";
 - d. "DATE OF BIRTH DOB", "Month", "Day", "Year";
 - e. Country of "CITIZENSHIP" "CTZ" (most will be USA);
 - f. All vital information (ie. "SEX", "RACE" "HGT.", "WGT.", "EYES" (color), "HAIR" (color), "PLACE OF BIRTH POB");
 - g. "DATE" the form was signed and the "SIGNATURE OF THE OFFICIAL TAKING FINGERPRINTS";
 - h. "EMPLOYER NAME AND ADDRESS";
 - i. "SOCIAL SECURITY NO. SOC".
6. Unless the card has preprinted information in the following boxes, the Banking Department will complete the following sections of the fingerprint card for you:
 - a. "ORI";
 - b. "YOUR NO. OCA";
 - c. "FBI NO. FBI";
 - d. "ARMED FORCES NO. MNU";
 - e. "REASON FINGERPRINTED";
 - f. "MISCELLANEOUS NO. MNU".
7. A copy of the Department of Safety Division of State Police *Criminal History Record Information Authorization Form* follows these instructions. You may make copies of this form, and then complete a form for each person described in the first paragraph of these instructions. Complete all items in Section I, and make sure to sign the release information in Section II of the form and have the form notarized.
8. Submit a *Criminal History Record Information Authorization Form*, a fingerprint card and a fee in the amount of \$39, for each principal of the company listed in the application, to the Banking Department. We will forward the document(s) and check(s) to the Department of Safety. Fees covering multiple individuals may be combined into one check.

If you have any questions about the procedure or requirements, please call the New Hampshire Banking Department's Licensing Section at 603-271-8675.



New Hampshire Department of Safety
DIVISION OF STATE POLICE
Central Repository for Criminal Records
33 Hazen Drive, Concord, NH 03305

NEW HAMPSHIRE BANKING DEPARTMENT CRIMINAL HISTORY RECORD INFORMATION AUTHORIZATION FORM
AUTHORITY NH RSA 397-A:1 – A:5; 361-A:2; 397-B:1 – B:4; 399-A:1 – A:3; 399-D:2 – D:5

SECTION I

PLEASE TYPE OR PRINT CLEARLY, ALL INFORMATION IN THIS SECTION **MUST BE COMPLETED**

NAME _____
LAST (MAIDEN/ALIAS) FIRST MI

ADDRESS _____
STREET CITY STATE ZIP CODE

DATE OF BIRTH _____ HAIR COLOR _____ EYE COLOR _____ SEX _____

DRIVER LICENSE NUMBER _____ STATE _____

My below signature certifies I am the individual listed above and that the information provided is true.

YOUR SIGNATURE: _____ DATE _____
Signed under penalty of unsworn falsification pursuant to RSA 641:3.

SECTION II

IF RECORD IS TO BE MAILED TO YOU, OR RECEIVED BY SOMEONE OTHER THAN YOURSELF,

ALL OF SECTION II MUST BE COMPLETED

I hereby authorize the release of my criminal record conviction(s), if any, to the following individual:

NEW HAMPSHIRE BANKING DEPARTMENT

NAME OF PERSON / FIRM TO RECEIVE RECORD _____

ADDRESS **64B OLD SUNCOOK ROAD** **CONCORD** **NH** **03301**
STREET CITY STATE ZIP CODE

YOUR SIGNATURE _____ DATE _____

NOTARY'S SIGNATURE _____ DATE _____
(Affix Seal) (Comm. Exp.)

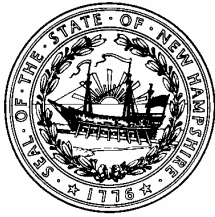
PETER C. HILDRETH, COMMISSIONER

DATE _____

SIGNATURE OF PERSON / FIRM TO RECEIVE RECORD _____

NOTE: A \$39.00 fee is required for each request - make checks payable to: State of NH – Criminal Records.

☐ Applicant fingerprint card attached.



State of New Hampshire

Banking Department

64B Old Suncook Rd
Concord, NH 03301

Peter C. Hildreth
Bank Commissioner

Robert A. Fleury
Deputy Bank Commissioner

Telephone: (603) 271-3561
Fax: (603) 271-0750
Licensing: (603) 271-8675
www.nh.gov/banking

PERSONAL BACKGROUND and FINANCIAL DISCLOSURE STATEMENT **NON-DEPOSITORY LENDER/BROKER OR DEBT ADJUSTER**

INSTRUCTIONS:

- This form must be completed by each of the applicant's individual owners/investors/beneficiaries of 10% or more and for each principal, officer, manager (senior vice president or higher), LLC member, partner in a partnership, director, trustee, and NH branch manager of the applicant.
- This form is required of new applicants and of existing licensees to amend information on file with the Department when the licensee adds individual owners/investors/beneficiaries of 10% or more and principal, officers, managers (senior vice president or higher), LLC members, partners in a partnership, directors, trustees, and NH branch managers.
- Please type or print. Complete all items. Attach additional sheets as necessary or indicated. This form may be duplicated if additional copies are required.

Date _____

NAME OF APPLICANT/ LICENSEE: _____

EIN: _____

LICENSE TYPE: _____

1. IDENTIFYING INFORMATION:

Name of (Owner, Officer, Director, Manager, Trustee, Partner, Member, Branch Manager, Other – circle those that apply)

(Name)

Street _____ Apt. _____
(Home street address: do not use P.O. Box address; do not use business address)

City _____ State _____ Zip Code _____

Mailing Address (if different) _____

Other names by which you have ever been known:

Date of Birth _____ Social Security # _____

Place of Birth _____
(City) (State)

Drivers License # _____ State _____

2. EDUCATION:

Indicate highest grade completed: _____ Name and address of last institution attended:

Degrees Received and Dates:

List other relevant education on a separate sheet.

3. PERSONAL BALANCE SHEET:

<u>ASSETS</u>		<u>LIABILITIES</u>	
a) Cash on hand and in banks	\$ _____	i) Accounts payable	\$ _____
b) Notes, loans and other accounts receivable considered active and collectible	\$ _____	j) Notes payable to banks	\$ _____
c) Marketable securities (Attach schedule w/details)	\$ _____	k) Notes payable to others	\$ _____
d) Real Estate (Attach schedule with details)	\$ _____	l) Real Estate Mortgages	\$ _____
e) Automobiles	\$ _____	m) Interest and taxes due and unpaid	\$ _____
f) Net worth of business (Attach most recent financial statement)	\$ _____	n) Other debts & liabilities	\$ _____
g) Life insurance cash surrender value	\$ _____	TOTAL LIABILITIES (B)	\$ _____
h) Other assets (Attach schedule with details)	\$ _____	TOTAL NET WORTH (C)	\$ _____ (A minus B)
TOTAL ASSETS (A)	\$ _____	TOTAL LIABILITIES AND NET WORTH	\$ _____ (B plus C)

Notes, accounts receivable, mortgages and other assets considered doubtful, and not included in above financial statement have an estimated value of \$ _____.

4. INVESTMENT IN APPLICANT:

- A. Amount to be invested, or currently invested, in the business is \$ _____, which will represent _____% of the business.
- B. Does any amount stated in item 4-A. above represent a loan from you to the license applicant? Yes _____ No _____
If Yes, attach copy of promissory note.
- C. Investment set forth in item 4-A. above will be, or has been, financed in the following manner:

5. FINANCIAL HISTORY:

- A. Have you been an owner of 10% or more of any business entity that has filed for bankruptcy protection?
- B. Have you ever filed for personal bankruptcy protection? _____
- C. If yes, supply particulars, including date, name and location of court, and docket number:

6. CONTINGENT LIABILITIES:

In addition to the debts and liabilities listed above, I have endorsed, guaranteed, or am otherwise indirectly or contingently liable for the debts of others as follows (attach an additional sheet if necessary):

Name & Current Address/Zip of Debtor/Obligator	Name & Current Address/Zip of Creditor/Obligee	Description of Collateral	Amount Due / Outstanding	Value of Collateral	Date the Obligation was Incurred

7. STATEMENT OF PERSONAL INCOME:

Current Year

Salaries, wages and commissions from employment \$ _____

Personal income from dividends and interest \$ _____

Net personal income from rents, royalties and investments \$ _____

Other personal income \$ _____

(Source: _____)

TOTAL INCOME \$ _____

ANNUAL PERSONAL EXPENSES \$ _____

NET INCOME \$ _____

8. EMPLOYMENT: Attach a separate sheet listing your work history, beginning with your current employment, and all businesses with which you have been involved, and/or all periods of unemployment for the last 10 years. Include all corporations, partnerships or any other business ventures in which you had an investment or interest of 10% or more, or with which you have been associated as an officer, director, or in a capacity influencing policy or management. Also include dates of association, job title, name and address of the business/employer, description of your duties/responsibilities, name of immediate supervisor and reasons for leaving.

9. LENDING HISTORY:

A. Have you ever been issued a license for lending or loan brokering by any other state, and have you or are you currently licensed to lend or broker loans in any other state? _____ If yes, attach a separate sheet setting forth the license number(s), name of the state licensing authority and dates during which such lending or brokering license was held.

B. Have you ever had a lending or brokering license revoked, suspended or denied, or been subject to any other disciplinary proceedings by this or any other state licensing authority? _____ If yes, attach a separate sheet which indicates the dates, licensing authority, and reason(s) for revocation, suspension, denial or disciplinary proceeding.

10. GENERAL CHARACTER: Have you ever been convicted of any misdemeanor or felony or other offense involving breach of trust, theft, forgery, deception, false advertising, false statements, fraudulent or dishonest dealing, or similar offense, or had a final judgment entered against you in a civil action upon grounds of fraud, misrepresentation, deceit or similar reason? _____ If yes, list on a separate sheet the type of offense or judgment, the name and address of the court before which the case was heard, docket #, the date of the conviction or judgment and the sentence, penalty or award ordered.

11. OTHER INFORMATION: Indicate any other items of personal history considered relevant by you.

AFFIRMATION:

I hereby subscribe and affirm that the foregoing statements, including statements made in any accompanying papers, have been examined by me and to the best of my knowledge and belief are true, accurate and complete. I understand that any misrepresentation made to the banking department may result in denial or revocation of the license to which this form relates. I am signing this document under penalty of Unsworn Falsification pursuant to NH RSA 641:3.

Signature

Date

Title